



Washington State Department of
Financial Institutions

Securities Division
PO Box 9033
Olympia, WA 98507-9033
360-902-8760
Fax: 360-586-5068

Complaint Report

Please print or type:

Investor Information

Your Name _____ Birth Date _____

Address _____

City _____ State _____ Zip Code _____

Phone: *day* _____ *evening* _____ Best time to call: _____

Complaint Against

Name of business: _____

Person you dealt with: _____

Address: _____

City: _____ State _____ Zip Code _____

Phone: _____

Names, Address, and phone number of any others businesses or persons involved in your complaint:

Your Complaint

How much money did you invest? _____

What date(s)? _____

How did you invest (e.g. personal or cashier's check, case, wire transfer)? _____

What kind of investment(s) did you buy? _____

Explain your complaint in detail

In your written explanation please tell us what happened in the order the events occurred. Please be sure to cover: how, when and from whom did you first learn about the investment, what oral and written information did they give you that caused you to invest; and, did any of this information later turn out not to be true?

Explain your complaint in detail (continued)

(use additional pages if necessary)

Documents

Please make and attach copies of any documents or written materials relating to your complaint, **including the front and back of any checks you used to pay for your investment.** List the documents attached. If you cannot make copies, the Division will copy your originals and return them to you.

If you're sending any materials you want returned, please indicate here which should be returned:

Request for Nondisclosure under the Public Records Disclosure Act

☐ By checking this box, I request this complaint not be disclosed if it is requested pursuant to the Public Records Disclosure Act.

Other Investors

Do you know anyone else who purchased the investment that is the subject of this complaint? If so, please list their names, addresses, and phone numbers.

Jurisdiction of the Securities Division

The jurisdiction of the Securities Division generally extends only to issues connected with the initial offer and sale of securities, franchises, business opportunities, and commodities. We may not have jurisdiction if your complaint involves later actions by management that you think are unfair to investors, or inactions by management such as the failure to hold shareholder meetings or provide annual reports. However, you may have civil remedies available to address your complaint, so please consult your attorney. Also, the Division does not have the authority to represent you in civil litigation, which means you must hire your own attorney to recover your investment funds.

Signature

In filing this complaint with the Securities Division, you are stating that the information you are providing is true and correct to the best of your knowledge and that the information may be used by the Securities Division to further investigate your complaint

Signature

Date